DEPARTMENT OF INSURANCE
Questions submitted regarding
Request for Proposal For
**Reengineering the Complaints, Rates,
& Forms Tracking System**

Cityon Systems, Inc.

In the Process Flow am I correct in understanding:

1. "that before the correspondence reaches the new CRAFT system that regardless of the source (USPS or SERFF) that the information would have been captured in the OnBase Imaging system and that retrieval type information like SSN# or Name or Lic # would have been associated to the imaged correspondence."
Currently, Onbase is used to store the images after the work is completed or the submission is approved. The new system should scan any paper documents at the time of receipt.

2. "…the process of fund batching would have been completed prior to the information reaching the new CRAFT system and that the information would have already been classified as to type of correspondence and Division."
Yes, the fund batching has to be completed before the reviewing division receives the file. If the funds are insufficient or not transmitted, the filing would be rejected automatically. If the funding is proper, the type of correspondence and Division should be assigned.

3. "… funding received with the correspondence would have already been captured in the Fiscal Database against the appropriate category."
Yes.

4. "Therefore, the new CRAFT system interface with the Fiscal Database to retrieve Amount due; amount paid plus dates, etc., from the OnBase imaging system the user will be able to access the original documentation in image format and that from the Informix Online Database Engine the user will be able to retrieve the correspondence classification engine." Yes, the new CRAFT system would interface with the Fiscal Database, however it is not decided if it interfaces through OnBase.

5. "The new CRAFT system will allow the examiner to work primarily with the disposition of the case, hence create form letters, document phone calls, and retrieve pertinent information to the corresponded." Yes.

6. "If my assumptions are not correct could you please assist me in understanding where the new system starts in your process flow and where does it end plus what information we can get through integration with your existing systems" Not part of a systemic work flow but other information must be retrieved from the unified database.

Infinity Software

7. Is there a system in place today that manages all the authorities granted to companies wishing to do business in the state of Louisiana? If so, what platform is it running on and how can it be queried? Yes, the lines of authority are located under our RED system that runs under Windows in a SQL database.

8. Does the scope of the proposed system include a web-based application to enable insurers to submit filings electronically through a web site hosted at the Department of Insurance, or will all electronically submitted filings be received from the SERFF system? Possible – depends on design of the new system and what is the best way for the system to operate given discussions with the CRAFT staff and IT Software Development Standards. No.

9. Does the scope of the proposed system include a web-based application to enable consumers to submit and monitor complaints? Possible – depends on design of the new system and what is the best way for the system to operate given discussions with the CRAFT staff and IT Software Development Standards.

10. Does the scope of the proposed system include a web-based application to satisfy consumers' public records requests? Possible – depends on design of the new system and what is the best way for the system to operate given discussions with the CRAFT staff and IT Software Development Standards.

11. Are all the documents currently stored in the OnBase system indexed with information such as filing number, document type, reviewed comments, etc.? Will be disclosed to winning bidder.

12. Will the proposed system be required to display all components of filings previously submitted and stored in OnBase by the current system? Will be disclosed to winning bidder.

13. Will the proposed system be required to accommodate the submission of funds or merely interface with the Department's Fiscal database to verify that funds are available? Interface with the Department's Fiscal Database

14. In section 1.4 of the RFP you reference "admitted licensed companies". Can you describe the system used to manage this information and how the

proposed system should access this data? The RED system supports this information and the CRAFT system will interface directly into the SQL database.

15. In section 1.4 7) of the RFP you reference "automated data extracts including EFT". Can you describe the source and content of the data extracts? Not EFT, they have to be batched and classified through the Fiscal components that will be developed in the future – the other data extracts will be disclosed to the winning bidder.

16. Should the proposed system include a workflow for the management of applications for Certificates of Authority? How are these applications received today? Does the scope include a web-based application to enable companies to submit these applications electronically? No, certificate of authority are handled through the RED system currently and the method of submission will be defined and executed by the RED system supervisor.

17. Does the scope of the proposed system include a redesign of the indexing that's completed today for filings' attributes that are scanned into the OnBase system? No.

18. Does the scope of the proposed system include one or more data migrations from existing systems? If so, what are the sources and sizes of the databases to be migrated? Yes, the source of the data will be the current Informix databases that will be accessed through ODBC with possible transformations of certain data fields to match the CRAFT system. Sources and sizes of the databases to be migrated will be provided to the winning proposer.

19. Can the Department provide an overview of the other major IT systems/software that are related to the requirements in this RFP, specifically which systems interact with the envisioned solution for Complaints, Rates, and Forms Tracking? Since we are developing a unified database, we envision that the CRAFT system should be compatible with all systems developed and/or planned to be developed according to the department's IT software development standards that is available of the Department's internet site.

Leverent Consulting

20. Please confirm the desired completion date for development and testing of the new system. Eighteen (18) months from awarding bid.

21. In how many offices are the system users located? What is the level of network support to each location? We have 4 offices in the Baton Rouge Area

but only the Poydras Building will have development of this system. Support will be by LDI IT staff and contractors.

22. What is the current network infrastructure? What changes are expected in the near future? No change is foreseen to the network infrastructure – Standard Windows Domain network.

23. What is the current server infrastructure (server operating systems, server software)? What changes are expected in the near future? Have any decisions been made concerning server software that the new system will depend on? Is the Department of Insurance open to the use of BizTalk and InfoPath to implement the new system? SCO Unix running Informix 4GL. We are migrating away from this system to a unified Microsoft SQL database. Refer to our IT Software development standards.

24. What is the current security infrastructure (authentication, authorization, encryption)? What changes are expected in the near future? Will be disclosed to the winning bidder.

25. Which OnBase modules and versions does the department have? Will be disclosed to the winning bidder.

26. What is the version of the Informix database? Does it support the ODBC interface? Informix 7.3.1 – ODBC supported.

27. Please provide the following information on the forms:
   A. List of all forms that the new system is expected to handle
   B. Sample forms – as many as possible (scanned image or screen shot)
   C. Description of the data on the forms
   D. What are the security requirements for each form?
   All will be disclosed to winning bidder.

28. Please provide the following information on the processes
   A. Confirm the completeness and accuracy of the following list of processes:
      a. Application for policy form approval
      b. Application for rate/rule filing approval
      c. Application for Certificate of Authority through the LIRC
      d. Submission of Complaints
      e. Changes to existing filings
      f. Requests for consumer information
      g. Correspondence management
      h. Management of complaints and actions against agents for complaints or violations
      i. Management of processes

B. What are the roles involved in each process? How many people are in each role and where are they located?

C. What are the security requirements for each process?
All will be disclosed to winning bidder.

29. Please describe the desired reports, letters and standardized printed outputs
    A. List of all reports, letters and outputs that the new system is expected to produce.
    B. What is the audience for each item?
    C. What is the data on each item?
    All will be disclosed to the winning bidder.

30. Please describe the desired queryable information that the system should provide
    A. What is the information that the system users will need to have access to?
    B. Which roles need the information?
    C. What are the security restrictions on access to the information?
    D. What is the level of sophistication of the users with respect to database queries?
    All will be disclosed to the winning bidder.

31. Please describe the information in the Informix database
    A. What is the database schema?
    B. What is the business description of each table?
    C. What is the level of quality of data in each table?
    D. How many rows are in each table?
    All will be disclosed to the winning bidder.

32. Please provide a complete definition of all of the systems with which the new system must integrate
    A. What are all of the systems?
        a. Describe each system.
        b. Which systems are maintained by other organizations?
        c. Are there contractual considerations concerning the interfaces?
        All will be disclosed to the winning bidder – refer to IT Software Development Standards.

    B. What are all of the interfaces?
        a. Interface technology (e.g. FTP, web service, EDI)
        b. Data transfer encoding (e.g. schema, record layout)
        c. Transfer specifics
            1. Availability window (e.g. any time, 1am to 2am, weekends)
            2. Transfer speed requirement (e.g. megabytes/hr, documents/minute)

3. Transfer volume (e.g. megabytes/hr, documents/day)
4. Transfer schedule (e.g. on demand, daily, every weekend)
All will be disclosed to the winning bidder.

33. Please describe the expected process for ensuring that the database design of the new system conforms to the required standards. Refer to the IT Software Development Standards.

34. What are the expected provisions for keeping up to date with insurance industry standards and practices? There exist no insurance industry standards that we have to maintain.

35. Please confirm the acceptability of the following locations for project work
    A. Requirements
    1. Interviews and workshops – Baton Rouge
    2. Document preparation – vendor office
    Acceptable

    B. Development – vendor office
    Would desire on-site because close contact with staff and availability have led to more acceptable products in the Department's experience.

    C. Unit testing – vendor office Acceptable

    D. System testing – Baton Rouge Acceptable

    E. Stress testing – Baton Rouge Acceptable

    F. Training – Baton Rouge Acceptable

36. Have any performance targets been defined for the new system?
    A. Turn-around times for inquiries/complaints/transactions?
    B. Inquiries/complaints/transactions handled per month?
    Refer to page 6 of the RFP.

37. Timely delivery of the project is described as imperative. To help us understand the project constraints better, please explain the adverse impact of a late delivery. Refer to page 7 of the RFP under Liquidated Damages.

38. Please describe the types of delays to which the liquidated damages ($1,000/day) would apply. Please describe in detail the process for determining the applicability of the liquidated damages charge.
    Refer to # 37.

Strategic Business

39. Page 4, Section 1.1, Policy Forms, Ratings and Consumer Complaints - All three of these have the statement: *The new system will replace the Informix tables, but provide integration with them until Informix is fully supplanted as the Department's database.* Why does DOI wish to maintain connectivity to the Informix databases after conversion of the data to SQL?
The department desires connectivity of the CRAFT system back to Informix for possible data tracking and to avoid potential problems that may result if the data entered into CRAFT is not updated in Informix before the complete dis-use of the Informix system.

40. Page 5, Section 1.1, 2nd paragraph, *The Department of Insurance expects the new system to be developed, implemented and tested by December 30, 2006.* Does this mean the system is anticipated to go live January 1, 2007?
No.

41. Page 16, Attachment I, Contractor Responsibilities 1, c, the last bullet in the list says: *Others as defined*   Does this mean others not yet defined?
"Others as defined" is part of the design process with inputs from LDI staff with cooperation with the winning vendor -- due to the fact that we are a state and regulatory entity, we may have to provide services to parties that are not known at the present.

Synch Solutions

42. Is LDI considering standardizing the Consumer Complaint forms, possibly offering them through a web site to provide an automated means of entry/recognition so that forms received thought the U.S. Postal Service, facsimile, email or hand delivery may be scanned instead of manually entered?
LDI would consider working with the vendor winning the proposal in the standardization of Consumer Complaint forms with help from our current web developers.

43. Will the I-FILE filling system specifications be made available so that we are able to review what has been done by the Florida Department of Financial Services? This process will allow us to determine how we may be able to improve the system (and potentially their model), so that LDI's "Complaints, Rates and Forms Tracking System" is one that others may choose to benchmark. The Louisiana Department of Insurance cannot speak for the Florida Department. If you would like more information, please contact the Florida Department of Financial Services.

44. **Page 4: "The new system will replace the Informix tables, but provide integration with them …"** What integration is to be provided? Real time "seamless" integration, referential integration, or …? Is the Informix database ODBC compliant? Updating of the Informix database either from CRAFT or periodic data transfer. The Informix database is ODBC compliant.

45. **Page 4: "The new system must be completely integrated with the current CAT System …"** By completely integrated do you mean a change in either the new system or the CAT system will cause a corresponding change in the other system? Will the system (new or CAT) actually make the change or invoke the other system to make the change? The CRAFT system will be part of the unified database and will depend on data from RED, CAT, and other systems.

46. **Page 4: "The new system must completely integrate with the UNIX system…"** By completely integrated do you mean a change in either the new system or the UNIX system will cause a corresponding change in the other system? Will the system (new or UNIX) actually make the change or invoke the other system to make the change? Once the CRAFT system is online, data entered into CRAFT would have to be transferred into the UNIX system. It may be required to pull data from UNIX into CRAFT but once CRAFT is operational the current CRAFT part of the Informix database will no longer be used to enter data.

47. **Page 5: "The system also processes incoming automated data transfers from approved department vendors …"** What is the nature of these data transfers and do they have a common protocol or structure (are they text, comma delimited/fixed columns, XML, or …)? The nature of these data transfers is variable. The protocol and structure are also variable.

48. **Page 5: "The new systems must provide for full interfacing with all systems in the Department of Insurance, National Association of Insurance Commissioners (NAIC), and other designated entities."** Is there someone in the LDI who is familiar with the interfaces to the various systems, especially NAIC. Will such a person be assigned as a resource to this development effort? Yes, the winning vendor will have the necessary resources as required.

49. What are the other designated entities? How many are there? What is the nature of these interfaces (real time, data file)? Are these interfaces the same or different for each entity (data file, XML, or web service)? Other designated entities refer to possible outside entities that may require information from us

and we may get information through data transfers. Laws, rules, regulations, etc. may require these data transfers in the future.

50. **Page 18: 6. "Robohelp"**
There is some industry speculation that Robohelp may not be a marketed product sometime in the next couple of years. Is Robohelp the required documentation tool or will you entertain the use of other documenters such as EC Software Help and Manual? Currently, Robohelp is the approved IT software development standard program for existing systems.

51. **Page 19: 11. "Ad hoc reports"**
Providing ad hoc reports is a difficult task made even more difficult because the user creating the query requires some knowledge about the database and how transactional databases are structured. Is the anticipated user of the ad hoc reports a person with no knowledge of the database or is it a technically savvy user who needs a user-friendly tool to access the data? We are aware of these limitations but currently users in these areas are using ODBC drivers to develop adhoc reports under Informix so we do not envision a major issue after some database structure is given the users.

52. **Page 19: 12. "Redaction"**
How is the redaction done? Redacting words or phrases that are in a table, section headings, …? Refer to the special print report.

53. Can the new system be:
    A. A VB.NET desktop application? If so what is the minimum hardware configuration it must run on? What network connection speed will it be tested at? The new application should be client/server where the application is run from our application server. Currently, we are having minimum problems with computers, servers, and the network speed.

    B. An ASP.NET web application? If so what browser(s) is it required to support? What internet connection speed will it be tested at?
    Not required.

Software Global, Ltd.

54. **Page 18, Attachment I. Item 1.g. Capability of associating previous submissions by the same company or complainant to the current submission.** Is it requested that the system automatically associate the submissions or is this to be setup for the user to manual associate. Or is it requested that both are available?
The system should allow the staff to view previous submissions or complaints through the craft screen without having to exit the screen. We would like the ability to relate all previous submissions or complaints via a screen that would

allow retrieval of the information stored in the system to a separate but viewing screen or area within the first screen.

55. **Page 21, Attachment I. Department Responsibilities #2.** Provide office space as needed for support and space for conducting all unit and system tests; Is it required or preferred that the Contractor's staff be on-site during unit & system tests? We would prefer a close daily contact with the vendor on this project – it is our experience that the closer the contact between the staff and the developers, the better developed the project because of the working relationship that develops and the thought that if something critical occurs, you are more able to respond to the situation because you will have access to the CRAFT staff, the IT staff, and IT contractors.

56. **Page 23, Attachment II. Item 1. states that "The proposer must address the specific language in Section IV and submit whatever exceptions or exact contract modifications that their firm may seek to the sample contract."** Can you verify if this is referring to Section IV of the Contract in Attachment V? If not, can you provide more clarification on the section being referenced? The proposer must address the specific language in Attachment V and submit whatever exceptions are exact contract modifications that their firm may seek to the sample contract.

57. **Pages 23-24, Attachment II. Item 4, #5.**
How detailed are you expecting the project plans to be in the response?
The more detailed the project plan, the better for the evaluators are in judging your understanding of the project, the working plan on the development of the project, your vision on where the project should be at roughly a certain date. It is understandable that the project plan will change (within the limitation of the due date of the contract) as your understanding of LDI and staff develops but a plan that shows that you have a general understanding of the project and the steps leading up to that point in the timeline allows the evaluators a clearer view of your vision for the project.

58. The RFP does not appear to address Change Requests. Should the cost of change orders be addressed in the response to the RFP? Change request costs should be addressed in the monthly maintenance portion of your proposal.

Methods Technology Solutions, Inc.

59. **In Attachment 1: Scope of Services, section 10 it states** "**The new systems must provide for full seamless interfacing with all systems in the *Department of Insurance, National Association of Insurance Commissioners (NAIC), and other designated entities*.**" Please quantify by organization (i.e., Department of Insurance, National Association of Insurance Commissioners (NAIC), other designated entities) the number (or

estimated number) of systems which must interface with the proposed system so we can better understand the level of effort required to support this Scope of Services. Possible outside entities that may require information from us and we may get information through data transfers. Laws, rules, regulations, etc. may requires these data transfers in the future so it is hard to quantify this information.

60. Is funding secured to support the full Scope of Services and period of performance? If no, how is funding planned to be obtained?
See Section 4.3 of Attachment V.

61. Did the Department of Insurance use a contractor to help develop this RFP? If so, who was that contractor and will that contractor be allowed to bid on this RFP? No

62. Is the Department of Insurance currently using contractors to support the systems referenced in the RFP? If so, what is the company name of the contractor(s)? Yes, appropriate information and cooperation will be given to the winning vendor.

Agilogic Consulting

63. Please list all of the internal and vendor related systems in the Department of Insurance that will interface with the new Complaints, Rates and Forms Tracking System both internal and vendor systems and the environments in which they operate. All information will be disclosed to the winning vendor.

64. Did the Florida Department of Financial Services, Office of Insurance Regulations develop this solution internally? See #43.

65. If the solution was developed externally, what is the name of the company that delivered the I-File Filing System solution for the Florida Department of Financial Services, Office of Insurance Regulations? See #43.

66. Is the I-File Filing System for the Florida Department of Financial Services, Office of Insurance Regulations a custom developed solution? See #43.

67. Is the I-File Filing System for the Florida Department of Financial Services, Office of Insurance Regulations an off the shelf packaged solution? If so, what is the solution's name? See #43.

68. What is the name of the Company that delivered the I-File Filing System for the Florida Department of Financial Services, Office of Insurance Regulations? See #43.

69. Will the company that implemented the I-File Filing System for the Florida Department of Financial Services, Office of Insurance Regulations be allowed to propose on this solution? See #43.

70. After estimated time as been assigned to tasks and the project plan approved, will the contractor be allowed to shift time between tasks?
Refer to question #57.

E-CONSULTING, Inc.

71. My company is interested in participating in this bid. Please inform there is a requirement to provide "Letter of Intent to bid" for this rfp.
A "Letter of Intent to bid" is not required.